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Arizona Department of Administration State Procurement Office

"Providing procurement services through operational leadership, legal compliance, and enhanced value for our customers and the state's procurement community."



Control Self-Assessment [AGENCY]

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT COMPLIANCE CHECKLIST
CONTROL SELF-ASSESSMENT**

Each year, the State Procurement Office (SPO) monitors compliance of state agencies with state procurement laws. This control self-assessment is designed to focus an agency's compliance with the State of Arizona's procurement code, applicable state and federal laws, executive orders, SPO technical bulletins, agency delegation agreements, and best practices.

This checklist covers key issues addressed in the SPO Procurement Performance Review (PPR). The regularly-scheduled PPR includes, but is not limited to the following criteria:

- ◆ Procurement organization
- ◆ Purchasing policy and procedures manual (if exists)
- ◆ Agency reporting requirements
- ◆ Procurement personnel training and delegation
- ◆ Procurement internal controls
- ◆ Solicitations and contracts
- ◆ Vendor Compliance

For purposes of efficiency, the State Procurement Administrator (SPA) may, at their own discretion, request an agency to use this checklist to monitor and review the agency's procurement compliance in lieu of a formal agency compliance review. This Control Self-Assessment will also serve as reference material during a regular SPO Procurement Performance Review.

Agency management and end-users may also use this checklist as a tool to meet the complex demands of the state procurement process or as a guide to implementing procurement controls.

The objective of the Control Self-Assessment is, through collaboration with the SPO Compliance Officer, to help identify and correct areas of non-compliance within the agency's procurement office. SPO, and the SPO Compliance Officer, are resources to the agency to help maintain procurement compliance controls.

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Instructions:

1. Each question is to help you assess the current situation and business practices of your agency's procurement office. Please ensure that you answer each question accurately. Where circumstances permit, someone other than the Chief Procurement Officer should complete, and sign, this self-assessment. The CPO may provide guidance to this individual. If someone, other than the CPO, is unable to complete this self-assessment (i.e. only CPO in office), the CPO should document this upon completing/signing the self-assessment.
2. A "No" answer to a question may, or may not, require an action on your part. Please make a note of this on the "Corrective Action" section of the checklist if corrective action is required. **Please correct any issue as soon as you can.** Detail the specific action that you took to keep your agency compliant.
3. An "N/A" answer may also require explanation. Please describe the circumstances regarding any "N/A" response. Keep this record to show to the SPO Compliance Officer that you took quick action to fix any non-compliance issue.
4. Criteria 6.0 and 7.0 are worksheets to review individual solicitations and contracts. Randomly choose a minimum of five current solicitation or contracts. For sole source, emergency, and competition impracticable contracts, please select at least 5 files to review (review all files if less than 5 exist in total). Use the appropriate worksheet to determine your compliance with Arizona procurement rules and regulations. You may reproduce the worksheets as needed. Selected contracts should be from within the past 12 months.

Respond accurately to every question from a "100% Yes/No" perspective. Explain circumstances and methods to remedy issues you identify as "mostly yes."

For example:

"Question 4.4: Is agency procurement staff certified by a public procurement organization?"

If one person in your office of four is certified, then the answer is "No." If three people in the office of four is certified, then the answer is still "No," but your explanation of each may be different.

5. If an agency is selected by the State Procurement Administrator to complete the Control Self-Assessment, or if any agency chooses to voluntarily self-monitor via the Control Self-Assessment, please follow the schedule below. Agencies will complete all sections of the Control Self-Assessment following the schedule below. When all the required actions are complete per section, please submit a copy of the completed section to the State Procurement Office Compliance Officer for future reference. Schedule due dates are:

- | | | |
|---------------------------------|-------------------|--|
| 1. September 30 th : | Sections 1 – 3 | |
| 2. December 31 st : | Sections 4 – 5 | (\$10,000 Delegated Agencies Stop Here) |
| 3. March 31 st : | Section 6.1 | (\$100,000 Delegated Agencies Stop Here) |
| 4. March 31 st : | Section 6.2 & 6.3 | |
| 5. June 30 th : | Section 7 | (Unlimited Delegated Agencies Stop Here) |

6. Review the agency's completed Control Self-Assessment regularly to recheck the issues covered and to ensure your agency's continued compliance. Establish a SMART action plan your agency will follow to remedy identified issues and prevent future occurrences. A SMART action plan should be Specific, Measurable, Attainable, Results-Oriented, and Time-bound. This plan should be evident in your Control Self-Assessment Corrective Actions at the end of each section.
7. For assistance on this checklist, please contact SPO Compliance at (602) 542-9144 or via email at jeremy.beakley@azdoa.gov

Definitions:

Agency Chief Procurement Officer: Means the procurement officer within a state governmental unit, who is acting under specific, written authority from the State Procurement Administrator, in accordance with R2-7-202 or any person delegated that authority, in writing, under R2-7-203. The term does not include any other person within a State Governmental Unit who does not have this written delegation of authority.

Arizona State Contract. A contract established or authorized by the State Procurement Administrator for use by State Governmental Units and eligible procurement units.

Compliance Review: As prescribed by ARS § 41-2511 and SPO TB#003, reviews shall assist State Governmental Units in preparation for successful audit performance. The compliance review might not detect, nor should it be relied upon to detect, all deficiencies that may exist or improvements that should be employed by State Governmental Units.

Contract Administration. Administrative actions taken to assure complete execution and compliance with the terms of the contract after the award of the contract. (SPO Glossary, 2008).

Cooperative Contract. A contract established for the use of more than one public procurement unit.

Cooperative Purchasing. Procurement conducted by, or on behalf of, more than one public procurement unit whereby quantities and requirements are collectively combined resulting in overall best value.

Director. The Director of the Department of Administration.

Ethics. (1) A principle of right or good conduct or a body of such principles. (2) A system of moral principles or values. (3) A code of conduct. (4) Prohibits breach of the public trust by any attempt to realize personal gain by a public employee through conduct inconsistent with the proper discharge of the employee's duties. Strong ethical principles are required for public procurement personnel and both the National Institute of Governmental Purchasing (NIGP) Inc. and the Institute of Supply Management (ISM) have articulated ethical codes for their membership. The Universal Public Purchasing Certification Council has also published a Code of Ethics. (Source: NIGP Dictionary 2007)

Limited competition procurement. Any procurement method utilizing less than full competition, including competition impracticable, sole-source and emergency procurements.

National Institute of Governmental Purchasing (NIGP). Is a national, membership-based non-profit organization providing support to professionals in the public sector purchasing profession. NIGP provides its members with many services, including education, professional networking, research and technical assistance.

ProcureAZ. The official designated state electronic procurement system.

Reverse Auction. An online auction in which sellers bid against each other to win a buyers business; typically used to purchase commodities from multiple pre-qualified providers.

Set Aside Agency. Means the Arizona Correctional Industries, Arizona Industries for the Blind and non-profit agencies for disabled individuals certified by the State for the purpose of being eligible for set-aside contracts.

Small Business. A for-profit or not-for-profit organization, including its affiliates, with fewer than one hundred full-time employees or gross annual receipts of less than four million dollars for the last complete fiscal year.

Special Terms and Conditions. Specific contract clauses that address contract performance requirements throughout the life cycle of the Contract.

State Governmental Unit: Means any department, commission, council, board, bureau, committee, institution, agency, government corporation or other establishment or official of the executive branch or corporation of this state.

State Procurement Administrator: Means the individual appointed by the director as a chief procurement officer for a state, or a state procurement administrator's authorized designee. A different title may be used for this position.

State Procurement Office: Means an office that acts under the authority delegated to the State Procurement Administrator.

Uniform Terms and Conditions. Standard contract clauses usually mandated by statute or rule and required for all state contracts.

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Section No.	Compliance Criteria				
1.0	Purchasing Organization	N/A	Yes	No	Requires Action
1.1	Does the procurement office have an accurate organizational chart that shows current employee designation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2	Does the procurement office have a Chief Procurement Administrator (CPO) signed delegated procurement authority on file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3	Have procurement personnel completed necessary training applicable to delegated authority? (TB# 002)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4	Are the employees listed on the organizational chart assigned full-time procurement and contracting duties?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5	Agency has well documented process for adding/deleting/modifying delegated authority in ProcureAZ.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**You have just completed this portion of the checklist.
If there are issues that require corrective action, please list them below and provide an estimated date of completion.**

Section No.	Corrective Action	Assigned to	Estimated Completion

Please Explain all "N/A's" Below

Section No.	Explanation	Explained by

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Section No.	Compliance Criteria				
2.0	Purchasing Policies and Procedures Manual	N/A	Yes	No	Requires Action
2.1	Does the agency have a purchasing policies and procedures manual and/or solicitation checklist? (If so – please forward a current copy to SPO Compliance)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2	Is the agency's purchasing policies and procedures manual current and in compliance with the AZ Procurement Code (APC), applicable executive orders and SPO Technical Bulletins (TB)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3	Does the agency's manual provide comprehensive instructions on the following?				
2.3.1	Description of the purchasing cycle	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.2	Roles and delegation assignments of procurement personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.3	Agency-specific instructions on how to process purchase requisitions and purchase orders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.3.1	Instructions on how to process purchase orders and contract releases issued in ProcureAZ.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.4	Instructions on how to use the agency's procurement system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.5	Instructions on how to prepare specifications and scopes of work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.6	Instructions on how to process sole source, limited competition, and emergency procurements (Unlimited w/in authority; Limited to SPO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.7	Instructions on how to conduct solicitations, as applicable to agency delegated authority (e.g. IFB, RFP, RFQ)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.8	Instructions on contract administration and procurement file management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.9	Instructions on set-aside purchasing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.10	Instructions on submitting agency procurement reports (e.g. changes in delegated personnel, set-aside program, Compliance with AZ Legal Workers Act, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.11	Instructions on how to process cooperative purchasing agreements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.3.12	Instructions on how to use P-Cards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.13	Instructions on how to dispose of agency surplus property	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3.14	Procurement ethics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4	Are employees complying with the agency's established purchasing policies and procedures manual?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

You have just completed this portion of the checklist.
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Please Explain all "N/A's" Below

Section No.	Explanation	Explained by

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Section No.	Compliance Criteria				
3.0	Agency Reporting Requirements	N/A	Yes	No	Requires Action
3.1	Is annual list of all agency delegated procurement personnel current and accurate? (SPO TB #002)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2	Were agency procurement personnel delegation changes reported within five working days to SPO? (See agency delegation agreement)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3	Are all agency requisitions, purchase orders, receipts, formal and informal solicitations and contract administration conducted on ProcureAZ? (PDS signed for all \$10K+ open market requisitions? State's most current Purchase Order T&C's in file?) (See agency delegated authority)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4	Are quarterly sole source, emergency, and competition impracticable procurement reports to SPO timely and accurate [if applicable – see Delegated Procurement Authority]? (ARS §41-2536, §41-2537, SPO TB #041)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.5	Are procurement protests, claims, decisions and agency reports submitted to SPO within five days of receipt or completion? (See agency delegation on administrative actions)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.6	Is the agency endeavoring to set aside one percent of new purchases to set-aside contractors? (ARS §41-2636 and SPO TB #004)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.7	Is agency verifying employment records of contractors and subcontractors, as per randomly selected by SPO? (ARS §41-4401, Executive Order 2005-30, and SPO SP #001)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Section No.	Corrective Action	Assigned to	Estimated Completion

Please Explain all “N/A’s” Below

Section No.	Explanation	Explained by

Agency Name:	
Agency Procurement Delegation Amount:	
Name of Person Completing Assessment:	
Signature of Person Completing Assessment:	
Name of Agency Chief Procurement Officer:	
Signature of Agency Chief Procurement Officer:	
Date of Self-Assessment:	

Stop Here. Submit Sections 1-3 to SPO Compliance Officer by September 30th.

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Section No.	Compliance Criteria				
4.0	Procurement Personnel Training and Delegation	N/A	Yes	No	Requires Action
4.1	Does the agency provide in-house procurement training and mentoring programs for newly-hired procurement personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2	Do procurement personnel undergo procurement training to enhance proficiency and professional status of procurement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.3	Are agency procurement managers certified by a public procurement organization (NIGP, ISM, etc) (TB# 001)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.4	Is agency procurement staff certified by a public procurement organization (NIGP, ISM, etc) (TB# 001)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.5	Are the agency's delegated procurement personnel taking the required (20) hours of procurement training each year? (Unlimited Delegated Procurement Authority only)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.6	Did the agency CPO sub-delegate procurement authority to agency procurement personnel in writing? (R2-7-203)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.7	Do agency sub-delegations include specific activities, functions, and limitations? (TB #002; Delegated Procurement Authority)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.8	Were procurement personnel adequately trained prior to being granted procurement delegation by the agency CPO? (SPO TB# 002)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

You have just completed this portion of the checklist.

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Section No.	Compliance Criteria				
5.0	Procurement Internal Controls	N/A	Yes	No	Requires Action
5.1	Does the agency provide procurement staff ethics training as outlined by SPO TB #001?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.2	Does the agency have a procedure or policy for dealing with unethical behavior?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.3	Are any of the agency's procurement personnel or staff employed in secondary work that potentially conflicts with their ability to perform their procurement function, as must be disclosed per HR Conditions of Employment R2-5A-503? (SPO TB #001)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.4	Does the agency have internal systems of control to guard against employee or public officer purchase of materials or services for their own personal, or business, use from contracts entered into by the state? (R2-7-204)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.5	Does agency have on file Annual Procurement Disclosure Statements for all employees, whose regular responsibilities include: Soliciting quotes greater than \$10,000 for the provision of materials, services, or construction; Issuing open market purchase orders with department buyer or basic purchasing roles in ProcureAZ; and, making decisions on protests or appeals by a party regarding an agency procurement selection or decision? (SPO SP #003).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.5.1	Has agency director waived Annual Procurement Disclosure Statements for any employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.6	Are responsibilities divided between different employees so one individual does not control all aspects of procurement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.7	Upon receipt of a submission, and CPO written determination, is the procurement office adequately safeguarding confidential information? (R2-7-103)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.8	Are contract files kept safe from tampering by unauthorized personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.9	Are there procedures in place to safeguard contract files during file reviews or when the public accesses the agency's procurement records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.10	Does the agency routinely check statewide contracts and state set-asides prior to issuing an open-market requisition? (R2-7-607; TB# 004)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.10.1	Does agency request off-contract determinations when material or service is dissimilar in some salient way from that which is available on statewide contract? (SP# 040)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.11	Does the office regularly monitor agency P-card purchases? (SPO TB #040)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.12	Does the agency maintain adequate contract records to facilitate auditing by the State? (ARS §41-2548)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.13	Does the agency make available the SPO "E-Comply" anonymous/confidential reporting compliance and ethics email address promoting a workplace environment free from retaliation (ARS §38-532)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.14	Other than ADOA's state financial system, does the agency have any other system of collecting financial data?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.15	Does the agency's internal audit conduct regular audits on procurement transactions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.16	Were there any finance or purchasing-related audits or reviews conducted on the agency within the past two years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.17	Did agency management comply with the recommendations and corrective actions in the audit report listed in 5.16?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.18	Cooperative Contracts (Effective 02/2015)				
5.18.1	Does the office practice due diligence in selection of cooperative contracts – cooperative contract complies with requirements of 41-2533, 41-2534, 41-2535, TB# 005?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.18.2	CPO performs cost analysis to determine best value? (R2-7-1003B)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.18.3	CPO reviews contract terms and conditions (R2-7-1003B)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.18.4	Office verifies vendor has capacity and willingness to extend contract to the state? (R2-7-1003B)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.18.5	Cooperative contracts are lesser of 25% of original contract or \$500k? (R2-7-1003D)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.18.6	Office verifies if State Contract already exists? (R2-7-1003A)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

You have just completed this portion of the checklist.
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Section No.	Corrective Action	Assigned to	Estimated Completion

Please Explain all "N/A's" Below

Section No.	Explanation	Explained by

Agency Name:	
Agency Procurement Delegation Amount:	
Name of Person Completing Assessment:	
Signature of Person Completing Assessment:	
Name of Agency Chief Procurement Officer:	
Signature of Agency Chief Procurement Officer:	
Date of Self-Assessment:	

Stop Here. Submit Sections 4-5 to SPO Compliance Officer by December 31st.

\$10,000 Delegated Authority Agencies do not continue beyond this page.

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The following criteria is used for each representative solicitation or contract. This section may be reproduced as needed.

Section No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	
Contract Title or Description:	
Contract Estimated Amount:	
Name of Procurement Officer:	

6.1	Request for Quotations (RFQ)	N/A	Yes	No	Requires Action
6.1.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.2	Was a state Set-Aside considered?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.4	Is there any evidence that this was artificially divided or fragmented so as to circumvent this section? (ARS §41-2535.C)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.5	Does the RFQ include a statement that only a small business as defined in R2-7-101, shall be awarded a contract? (R2-7-D302)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.5.1	If RFQ was not awarded to a small business, is there a determination in file that less than three small businesses are registered, or that restricting procurement to small business is not practical under the circumstances (R2-7-D302)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.6	Does the RFQ include the following (R2-7-D302.A):				
6.1.6.1	Offer submission requirements, including offer due date and time, where offers will be received, and offer acceptance period	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.6.2	Any purchase description, specifications, delivery or performance schedule, and inspection and acceptance requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6.1.6.3	The minimum information that the offer shall contain	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.6.4	Any evaluation factors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.6.4.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.6.5	Whether negotiations may be held	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.6.6	The uniform terms and conditions by text or reference	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.6.7	The term of the contract, including language for any applicable option for contract extension.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.7	Was the RFQ distributed to a minimum of three small businesses? (R2-7-D302)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.8	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.8.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.9	Is there a written basis for the award on file? (R2-7-D304.C)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.10	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.11	In ProcureAZ, is total spend limit locked in Control Tab?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.12	Contract Administration				
6.1.12.1	Are contract files and records complete and available for public inspection w/in 3 days of award? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.12.2	Is there a valid and current Certificate of Insurance on file (if applicable)? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.12.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.12.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.12.5	For multi-term contracts, are there written determinations from the				

	SPA of extension in the contract files (> 5 years)? (R2-7-605.A-C)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.1.12.6	Does agency appropriately respond to Vendor Performance Reports? (documenting both satisfactory & unsatisfactory performance)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

You have just completed this portion of the checklist.
If there are issues that require corrective action, please list them below and provide an estimated date of completion.

Section No.	Corrective Action	Assigned to	Estimated Completion

Please Explain all "N/A's" Below

Section No.	Explanation	Explained by

Agency Name:	
Agency Procurement Delegation Amount:	
Name of Person Completing Assessment:	
Signature of Person Completing Assessment:	
Name of Agency Chief Procurement Officer:	
Signature of Agency Chief Procurement Officer:	
Date of Self-Assessment:	

\$100,000 Delegated Authority Agencies Stop Here. Submit Section 6.1 to SPO Compliance Officer by March 31st.

Unlimited Delegated Authority Agencies continue to Section 6.2

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT COMPLIANCE CHECKLIST
CONTROL SELF-ASSESSMENT**

The following criteria is used for each representative contract. This section may be reproduced as needed.

Invitation for Bids (IFB)	
Contract Number:	
Contract Title or Description:	
Contract Estimated Aggregate Amount:	
Name of Procurement Officer:	

6.2	Invitation for Bids (IFB)	N/A	Yes	No	Requires Action
6.2.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.2	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.3	Was there adequate notice, a minimum of 14 days before bid opening, of the IFB in a newspaper? (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.4	If a Pre-Offer Conference was conducted, was it held a reasonably sufficient time before the offer due date? (R2-7-B302; TB# 043)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.5	Does the solicitation include the most recent edition of Uniform Instructions and Uniform Terms and Conditions issued by SPO – SPO Website: http://spo.az.gov ? (R2-7-B301 and R2-7-C301)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6	Does the solicitation include the State's most current version of Uniform instructions to offerors, including: (R2-7-B301.C.1)				
6.2.6.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6.3	Manner by which to acknowledge amendments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6.4	Minimum information required in the offer.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6.5	The specific requirements for designating trade secrets and other proprietary information as confidential. (SPO Form 204: Designation of Confidential, Trade Secret & Proprietary Information. Effective 10/01/2014 – Prior to, only Uniform T&C's)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6.2.6.6	Any specific responsibility criteria.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6.8	Any evaluation criteria.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6.8.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (Section 508).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.6.13	The term of the contract, including language for any applicable option for contract extension. (R2-7-B301.C.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.7	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §23-901)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.8	Did the bid generate a sufficient number of qualified bidders? (ARS §41-2533, §41-2534)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.9	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.10	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.11	Was the contract awarded to the lowest responsible and responsive offeror whose offer conforms in all material respects to the requirements and criteria in the solicitation? (R2-7-B314.A; SP# 043)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.12	If applicable, is there a non-responsibility determination on file? (R2-7-B313)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.13	Is there a record showing the basis for determining the successful offeror on file? (R2-7-B314.B)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.14	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.15	At the time of award, does a procurement file (either paper or	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, signed Offer & Acceptance (State's most current version) and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))				
6.2.16	If Reverse Auction (SPO SP#025)				
6.2.16.1	Was the commodity appropriate for a reverse auction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.16.2	Were vendors notified via Bulk Email, including Offer & Acceptance, Specifications, Uniform T&C's, Special T&C's, Uniform Instructions, Special Instructions, and Quick Reference Guide – Responding to R.A.'s?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.16.3	Were Bid Increments set in ProcureAZ, and of appropriate intervals, for the R.A.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.16.4	Was Soft Close Enabled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.17	Contract Administration				
6.2.17.1	Are contract files and records complete and available for public inspection w/in 3 days of award? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.17.2	Is there a valid and current Certificate of Insurance on file? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.17.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.17.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.17.5	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (>5 years)? (R2-7-605. A to C)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2.17.6	Does agency appropriately respond to Vendor Performance Reports? (documenting both satisfactory & unsatisfactory performance)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

You have just completed this portion of the checklist.
If there are issues that require corrective action, please list them below and provide an estimated date of completion.

Section No.	Corrective Action	Assigned to	Estimated Completion

Please Explain all “N/A’s” Below

Section No.	Explanation	Explained by

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT COMPLIANCE CHECKLIST
CONTROL SELF-ASSESSMENT**

The following criteria is used for each representative solicitation or contract. This section may be reproduced as needed.
A minimum of 5 contract files shall be reviewed, in total, to complete Section 6.

Request for Proposals (RFP)	
Solicitation or Contract Number:	
Contract Title or Description:	
Contract Estimated Amount:	
Name of Procurement Officer:	

6.3	Request for Proposals (RFP)	N/A	Yes	No	Requires Action
6.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.2	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.3	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (ARS §41-2534.C)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.4	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.5	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.6	Does the solicitation include Scope of Work/Specifications and the State's most current version of Uniform Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7	Does the solicitation include Scope of Work/Specifications, the State's most current version of Uniform Instructions and Uniform and Terms and Conditions? (RFP – TB47 – Attachment 1) (R2-7-C301)				
6.3.7.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period. Specify whether hand delivery, U.S. Mail, electronic mail, facsimile, or other means are acceptable methods of submission.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.3	Manner by which to acknowledge amendments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6.3.7.4	Minimum information required in the offer.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.5	The specific requirements for designating trade secrets and other proprietary information as confidential. (SPO Form 204: Designation of Confidential, Trade Secret & Proprietary Information. Effective 10/01/2014 – Prior to, only Uniform T&C's)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.6	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.8	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.11	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.13	Any cost or pricing data required.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.14	The type of contract to be used.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.15	That the offeror is required to declare whether the offeror has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity, including, but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.16	Any offer security required.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.17	A statement that negotiations may be conducted with offerors reasonably susceptible of being selected for award.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.7.18	The term of the contract, including language for any applicable option for contract extension. (R2-7-C301.E.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.8	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.9	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6.3.10	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.11	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.12	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.12.1	Was a kick-off meeting with the evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule?(SPO SP# 043)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.12.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.13	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.14	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.15	Were all offerors notified of the award? (R2-7-C317.D)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.16	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, signed Offer & Acceptance (State's most current version) and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.17	Contract Administration				
6.3.17.1	Are contract files and records complete and available for public inspection w/in 3 days of award? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.17.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.17.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.17.4	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3.17.5	Does agency appropriately respond to Vendor Performance Reports? (documenting both satisfactory & unsatisfactory performance)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

You have just completed this portion of the checklist.
If there are issues that require corrective action, please list them below and provide an estimated date of completion.

Section No.	Corrective Action	Assigned to	Estimated Completion

Please Explain all “N/A’s” Below

Section No.	Explanation	Explained by

Unlimited Delegated Authority Agencies Stop Here. Submit Section 6 to SPO Compliance Officer by March 31st.

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT COMPLIANCE CHECKLIST
CONTROL SELF-ASSESSMENT**

The following criteria is used for each representative solicitation or contract. This section may be reproduced as needed.
A minimum of 5 contract files shall be reviewed to complete Section 7 (if fewer than 5, then all within past 12 months)

Section No.	Compliance Criteria			
7.0	Sole Source, Emergency, Competition Impracticable			

Sole Source Procurement	
Contract Number:	
Contract Title or Description:	
Contract Estimated Amount:	
Name of Procurement Officer:	

7.1	Sole Source Procurement	N/A	Yes	No	Requires Action
7.1.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (R2-7-205 and R2-7-E301)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.2	Does the procurement request include the following? (TB# 041)				
7.1.2.1	Description of the procurement need, the efforts made to seek alternative sources, and the reason why there is only a single source available (R2-7-E301.B.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.2.2	Name of the proposed supplier (R2-7-E301.B.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.2.3	Duration and estimated total dollar value of the proposed procurement (R2-7-E301.B.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.2.4	Documentation that the price is fair and reasonable (R2-7-702; R2-7-E301.B.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.2.5	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.2.6	Is there a written determination that there is only one source for the required material or service, and that no reasonable alternative source is available? (ARS §41-2536 and R2-7-E301)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.2.7	Were registered vendors invited to comment on the sole source procurement at least 3 days before determination was made? (R2-7-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	E301.C)				
7.1.2.8	Was the sole source procurement approved using the State's most current Emergency Procurement request form and did the procurement officer negotiate a contract that was advantageous to the State? (R2-7-E301.D)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.4	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.5	Contract Administration				
7.1.5.1	Are contract files and records complete and available for public inspection w/in 3 days of award? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.1.5.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

You have just completed this portion of the checklist.
If there are issues that require corrective action, please list them below and provide an estimated date of completion.

Section No.	Corrective Action	Assigned to	Estimated Completion

Please Explain all "N/A's" Below

Section No.	Explanation	Explained by
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**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT COMPLIANCE CHECKLIST
CONTROL SELF-ASSESSMENT**

The following criteria is used for each representative solicitation or contract. This section may be reproduced as needed.

Emergency Procurement	
Contract Number:	
Contract Title or Description:	
Contract Estimated Amount:	
Name of Procurement Officer:	

7.2	Emergency Procurement	N/A	Yes	No	Requires Action
7.2.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (ARS §41-2537 and R2-7-E302)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.2	Does the procurement request include the following? (R2-7-E302.C)				
7.2.2.1	Description of need and reason for the emergency (R2-7-E302.C.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.2.2	Name of the supplier (R2-7-E302.C.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.2.3	Duration and estimated total dollar value of the procurement (R2-7-E302.C.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.2.4	Documentation that the price is fair and reasonable (R2-7-702; R2-7-E302.C.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.2.5	Was there a written approval by the delegated agency CPO or by the State Procurement Administrator for this emergency procurement on the State's most current Emergency Procurement request form? (R2-7-E302.D)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.2.6	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.2.7	Was the emergency procurement limited only to the actions necessary to address the emergency? (R2-7-E302.F)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.2.8	Given the circumstances, was maximum competition employed to protect the interest of the State? (R2-7-E302.G)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.3	Contract Administration				

7.2.3.1	Are contract files and records complete and available for public inspection w/in 3 days of award? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2.3.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**You have just completed this portion of the checklist.
If there are issues that require corrective action, please list them below and provide an estimated date of completion.**

Section No.	Corrective Action	Assigned to	Estimated Completion

Please Explain all "N/A's" Below

Section No.	Explanation	Explained by

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT COMPLIANCE CHECKLIST
CONTROL SELF-ASSESSMENT**

The following criteria is used for each representative solicitation or contract. This section may be reproduced as needed.

Competition Impracticable Procurement	
Contract Number:	
Contract Title or Description:	
Contract Estimated Amount:	
Name of Procurement Officer:	

7.3	Competition Impracticable Procurement	N/A	Yes	No	Requires Action
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.2	Does the procurement request include the following? (R2-7-E303.C)				
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.2.6	Was there a written approval by the delegated agency CPO or by the State Procurement Administrator for this procurement on the State's most current Competition Impracticable request form? (R2-7-E303.B and D)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.4	Contract Administration				
7.3.4.1	Are contract files and records complete and available for public inspection w/in 3 days of award? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3.4.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

You have just completed this portion of the checklist.
If there are issues that require corrective action, please list them below and provide an estimated date of completion.

Section No.	Corrective Action	Assigned to	Estimated Completion

Please Explain all "N/A's" Below

Section No.	Explanation	Explained by

Agency Name:	
Agency Procurement Delegation Amount:	
Name of Person Completing Assessment:	

Signature of Person Completing Assessment:	
Name of Agency Chief Procurement Officer:	
Signature of Agency Chief Procurement Officer:	
Date of Self-Assessment:	

Unlimited Delegated Authority Agencies Stop Here. Submit Section 7 to SPO Compliance Officer by June 30th.